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ABSTRACT

The fourth volume of the introduction to psychology and leadership course (see the final reports which summarize the development project, EM 010 418, EM 010 419, and EM 010 484) concentrates on achieving effective communication. It is a self-instructional tape script and intrinsically programed booklet. EM 010 427 and EM 010 428 are the first and second parts of the volume, and EM 010 420 through EM 010 447 and EM 010 451 through EM 010 512 are related documents. (SH)

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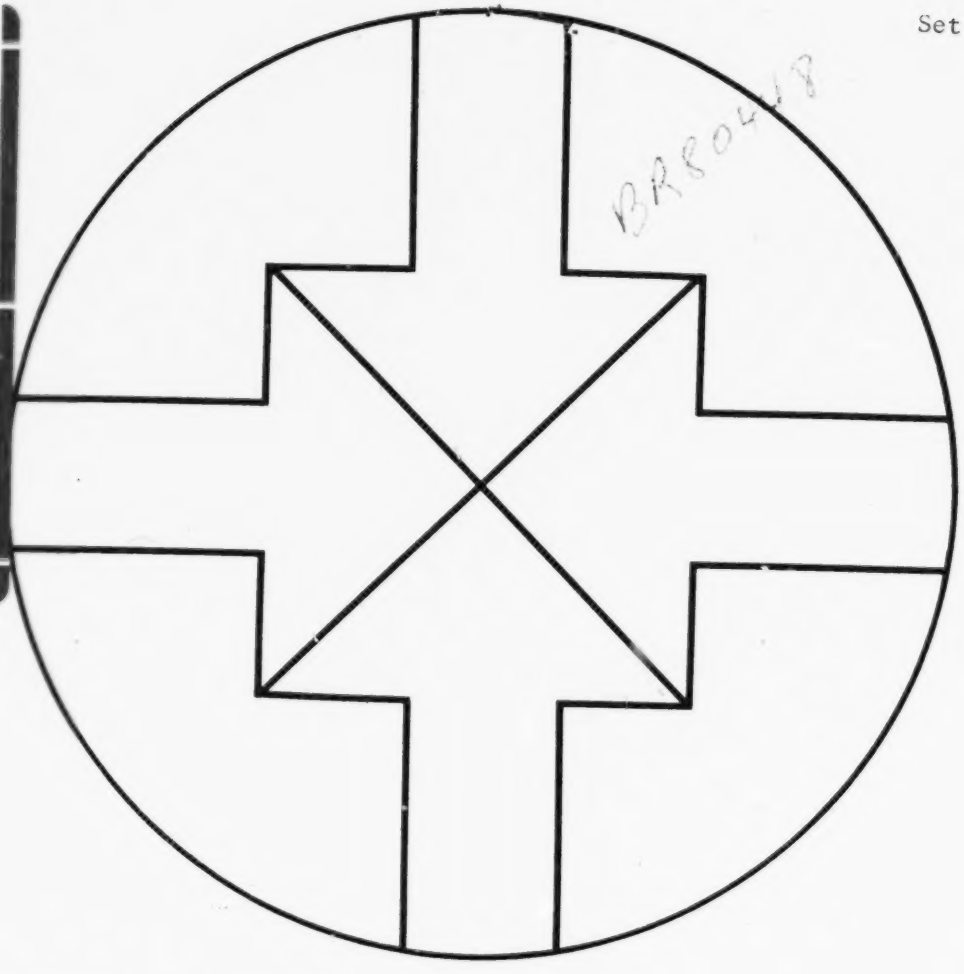

Introduction To Psychology And Leadership

Volume IV—Script

Achieving Effective Communication

EM 010 426

ED 071284

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART FOUR

ACHIEVING EFFECTIVE COMMUNICATION

Segments IV, V, VI & VII

Volume IV
Script

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WESTINGHOUSE LEARNING CORPORATION
Annapolis, Maryland
1971

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United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART FOUR

ACHIEVING EFFECTIVE COMMUNICATION

Segment IV

The Communication Process (Sender and Feedback)

Audio Script

(HIIATS)

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

NOTE TO THE STUDENT

This script is designed for use instead of an audiotape with the Intrinsically Programed Booklet (IPB). Begin the segment by reading page 1 of this script, not of the IPB. The script will then direct you where to begin reading the IPB. Thereafter, instructions for progressing through the IPB will be contained on each page of the IPB.

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THE COMMUNICATION PROCESS (SENDER AND FEEDBACK)

Read this page, then follow the underlined instructions. PART I

As you learned in the previous segment, it is necessary to do some planning before actually initiating the communication process. In this segment we shall examine the technique of sending a message and ways of modifying it after feedback. We shall first discuss the sender's role in the communication process--encoding the message, delivering it, and modifying it after feedback. Then we shall elaborate briefly on the relationship of feedback to the other stages of the communication process.

After formulating in his mind the purpose of the message, the sender must transform or "encode" his thoughts into a medium that the receiver can interpret. The definition, then, of encoding is converting the sender's thoughts into oral, written, or nonverbal symbols.

There are three steps that a sender must follow to effectively encode his message. He must:

1) Determine the receiver's frame of reference.
2) Select effective and appropriate verbal and nonverbal symbols.
3) Organize the message.

To effectively encode his message in oral, written, or nonverbal symbols, the sender must follow three steps. Once again, these are the frame of reference, effective and appropriate verbal and nonverbal symbols, and organization of the message.

Now, go to page 1 of the IPB and follow the instructions.

PART II Read this page in conjunction with page 4 of your IPB.

The first of the three steps in effective encoding of a message is determining the receiver's frame of reference. In order to do this, the sender must establish rapport with his receiver by first getting his attention and then by giving him an overview of the situation. The overview is intended to convey a personal interest in the receiver on the part of the sender and to communicate the fact that any and every task is important to the overall operation of the organization. The overview should generate in the receiver a feeling of being needed and should motivate him to do his best.

Here is an example in which the sender neglected to get his receiver's attention:

> "The message we received at 1300 should be entered into the correct log. It was sent by the Commandant of the Eighth Naval District and is confidential."

In the next example, the sender got the receiver's attention with his first statement, and then followed it with an overview:

> "Petty Officer Smith, I have a problem I'm sure you can solve for me. The Supply Officer needs some provisions from the cold storage depot in Building 107, and all of his men are busy. Since there is the possibility of spoilage, he needs someone he can trust to get the supplies back as soon as possible. Would you help him?"

In this example, the sender established immediate rapport with his receiver.

In addition to establishing rapport with his receiver, the sender must consider any of his receiver's past experiences and knowledge that might affect his understanding. Therefore, in speaking with a receiver who has had no background in a subject, an officer must avoid using specialized terms.

The sender must also consider moment-to-moment variations that might occur in his receiver's mood, which in turn would influence his frame of reference. Any of the following circumstances, for example, could cause a variation in a receiver's frame of reference: nearness to chow time, a canceled leave, news of a death in his family, or just being notified of a promotion.

Therefore, in implementing the first step of the encoding technique, the sender has to determine the receiver's frame of reference. He should first establish rapport by getting the receiver's attention and by giving him an overview of the situation. Then he should consider any of his receiver's past experiences and knowledge that might affect his understanding. Finally, he should consider the moment-to-moment variations in the receiver's mood or circumstances that might affect his frame of reference.

Now, go to page 4 of the IPB and follow the instructions.

PART III Read this page in conjunction with page 9 of your IPB.

The second step in the encoding process is selecting effective and appropriate verbal and nonverbal symbols.

Language is the most subtle and highly developed of all forms of symbolism, even though there are many other symbols to which meaning is attached. For example, bodily actions such as facial expressions, gestures and posture, along with vocal variations such as tone, pitch and speed, communicate thoughts or feelings to others just as well as words.

Since words have no meaning in themselves but serve to trigger meanings which already exist in the memories of the sender and the receiver, the sender has to select appropriate and effective language on the basis of the total communication situation. He has to consider the circumstances under which the communication is to take place, for language that is appropriate in one situation may be totally ineffective in another. He should select the mode of presentation--whether the message is to be oral or written, formal or informal--on the basis of his immediate needs. He should also keep in mind the receiver's frame of reference as well as physical and mental barriers to communication. Finally, he should consider the question of feedback, which has great bearing on the success or failure of a message.

Since it is never wise to assume that the receiver will comprehend the chosen symbols or words in the way that they

were meant, the sender has to exercise great care in selecting them. Context is of great help, for it often clarifies the meaning. For example, an art critic may be quoted as having said, "A brilliant piece of work," while actually his full remark was, "This is far from a brilliant piece of work." Context indeed clarifies the meaning in this case.

Another aspect of selecting appropriate symbols is the use of gestures, facial expressions and varying speech patterns to reinforce and emphasize the meaning of words. Pounding the desk, for instance, can be effective in certain situations, while smiling or frowning at inappropriate times while delivering an oral message can destroy its content.

Therefore, in the second step of the encoding process--selecting effective and appropriate symbols--the sender must evaluate the total communication situation before choosing his words, gestures, and facial expressions.

Now, go to page 9 of the IPB and follow the instructions.

PART IV Read this page in conjunction with page 12 of your IPB.

The third step of the encoding technique is organizing the message.

There are many ways in which a communication requiring no action may be organized. The reporter's stock in trade--who, when, where, why, what and how--can serve as a useful checklist in assembling and presenting the details of such a message. However, many military messages require action on the part of the receivers, and such messages should follow a prescribed mode of organization, which we shall now discuss.

The sender of a message calling for action should first list all of the tasks that must be completed concurrently, for a single operation might include many tasks that run together, meet, and sometimes intersect. Tasks may be dependent upon some degree of completion of other tasks, and at some point, certain of these tasks will have to be completed concurrently in order for another phase of the operation to begin. For instance, in getting a ship under way, a number of tasks must be accomplished simultaneously: the Chief Engineer must ensure that he has power available; the Navigator must ensure that he has all the correct charts; and the First Lieutenant must ensure that the line-handling tasks are executed as the ship casts off from the pier. Thus in a message pertaining to this operation, these tasks should be enumerated first.

Furthermore, the message should make clear to the receivers the order in which the subtasks should be started

and completed, so the next step in organizing the message is sequencing of the required subtasks. Finally, the sender should always keep the following in mind: The first and last parts of a long communique are better remembered than information in the middle. Therefore, a third suggestion for organizing the message is to keep the message as short as possible.

In implementing the third step of the encoding technique--organizing the message--the sender will first explain to his receivers those tasks that should be completed concurrently; next he will explain the sequence of required subtasks; and finally he will keep his message as short as possible.

Now, go to page 12 of the IPB and follow the instructions.

PART V Read this page in conjunction with page 16 of your IPB.

Upon completion of the encoding process, the sender is ready for the next stage--transmission or delivery of the message in a written or spoken manner, and/or through bodily action. The situation determines the selection of the means of transmission. A written message has the advantage of being a permanent record to which one can refer as the need arises. Nevertheless, about 80 per cent of communication is oral. So in our discussion of delivery we shall focus on effective oral delivery techniques.

The four points to be considered when delivering a message can be summarized as follows:

1) Establish credibility.
2) Avoid talking down.
3) Avoid offending the receiver.
4) Ask key questions.

Since a well-worded message can still result in ineffective communication because of poor delivery, it is important to keep these points in mind. Once again, they are: inspiring belief, treating the receiver as an intelligent and competent individual, and asking key questions to encourage feedback.

Now, go to page 16 of the IPB and follow the instructions.

Read this page in conjunction with page 25 of your IPB. PART VI

The first step of an effective delivery technique is establishing credibility, which can be defined as the power of inspiring belief. Petty officers tend to have little faith in the competence of a new ensign since the ensign has had little or no practical experience. The ensign, like the sender of a message, has to establish credibility. To establish credibility, or to increase his power to inspire belief, the sender has to consider those same factors that a receiver considers when he evaluates the sender's credibility.

There are four factors that a receiver considers when he evaluates the credibility of a sender:

1) The consistency and fitness of the sender's behavior
2) The sender's trustworthiness
3) The sender's competence in the job area
4) The sender's drive or energy

Let's examine consistency in behavior first. A receiver feels secure when he has identified the sender's dependable behavior pattern. On the other hand, whenever a sender's behavior is inconsistent with this pattern, the receiver becomes uneasy and uncomfortable because he does not know how to react to the change. We tend to trust and believe persons who are consistent in their behavior. Therefore, one way a sender can establish credibility is to achieve consistency in his behavior.

The fitness of a sender's behavior while delivering a message is another element contributing to his credibility. Take the example of ENS Kaler, who issues an order and chuckles when he delivers it to his men. ENS Kaler's behavior undermines his men's willingness to follow the order. Now take the example of ENS Hansen, whose behavior indicates a respect for the order he is issuing. ENS Hansen has a better chance than ENS Kaler of gaining the men's cooperation in complying with his order. Also, if a sender persists in disobeying the rules he has set down for a group, he will soon lose the power to inspire belief in that group. Take as an example LT Erickson, who presents certain guidelines for his men to follow but disregards the guidelines himself. LT Erickson will not only have little success in inspiring his men to follow those guidelines, but he will also have little success in communicating with his men in the future when he issues other guidelines. The lieutenant has lost credibility in the eyes of his men.

Trustworthiness is another factor the sender should consider in striving to establish his credibility. To be credible in his receiver's eyes, the sender must measure up to responsibilities. He has to be reliable, and the receiver must be able to depend on him. He has to be worthy of his receiver's trust. The sender's trustworthiness helps him establish credibility in his receiver's eyes.

A third factor a sender should consider in striving to establish his credibility is competence in the job area. A sender whose actions imply that he is incapable of performing the duties necessary to get his own job done has no credibility with his receiver. Even if the sender only appears inefficient and incompetent in his job, it will be difficult for him to inspire confidence and belief. Therefore, to establish credibility with his receivers, the sender must display an air of competence in his own job area.

The last point a sender should consider in striving to establish his credibility is drive. Receivers place a great deal of value on a general air of assurance and optimism in their senders. Therefore, approaching a job or a problem with a great deal of zeal and enthusiasm will elicit a similar response and cooperation from the receiver. When he observes that a sender persistently demonstrates drive and enthusiasm in following through on his assignments, that receiver will be more likely to carry his own duties through to completion. Thus, drive enhances a sender's image and aids him in establishing credibility.

The sender, then, should consider four factors when striving to establish credibility:

1) Consistency and fitness of behavior
2) Trustworthiness
3) Competence in the job area
4) Drive

Now, go to page 25 of the IPB and follow the instructions.

PART VII Read this page in conjunction with page 29 of your IPB.

The next steps which help a sender deliver his communication effectively require that he avoid certain types of behavior:

1) Avoid talking down to the receiver.

2) Avoid appearing to be less interested in the receiver's welfare than in the mission.

3) Avoid creating the impression that the receiver is not intelligent enough to understand.

4) Avoid creating the impression that the receiver is incompetent for the assignment.

5) Avoid indicating that you think the receiver does not care about the Navy's goals.

As a general rule, people tend to live up to their reputations. They tend to react as expected. Positive expectations elicit positive responses. Negative expectations elicit negative responses. Therefore, the next two steps of the delivery technique cover those types of behavior that a sender should avoid: avoid implying by either words or actions that the sender's impression of the receiver is a negative one.

Now, go to page 29 of the IPB and follow the instructions.

Read this page in conjunction with page 36 of your IPB. PART VIII

The fourth step of the delivery technique is asking key questions.

It is almost too obvious to state that a sender should attend to lapses of understanding when he gives instructions. Not so obvious, however, is the corresponding problem that all senders have in this regard--the problem of determining that there has been a lapse of understanding in the first place. Usually a receiver frowns or looks puzzled when he does not understand some portion of a message, or he might unconsciously nod when he does understand. It is possible, however, for a complete lack of understanding to be accompanied by nodding.

This is what happens. A sender encodes a message that is perfectly clear to him. The receiver decodes that same message in a way that is perfectly clear to him, so he nods. Yet, both the sender and the receiver attribute entirely different meanings to that message. In cases like this, the sender has every indication that the receiver understands and has no indication that the receiver is really misunderstanding. The only way a sender can establish that a lapse in understanding is taking place is to ask key questions. Then he can evaluate the receiver's answers in light of his, the sender's, intent. Therefore, the sender's purpose in asking key questions is to help him identify lapses in understanding which occur between himself and the receiver.

In the following situation, the sender foresaw an area in which a misunderstanding could arise. The material covered

a key point; therefore a question on that key point was appropriate in order to keep the receivers from going astray.

An instructor in basic electricity has just finished explaining voltage regulators. He wishes to check the men on their basic understanding of voltage and current. He asks, "What is the range of amps controlled by the voltage regulator?" If the men are not confused, they will say that volts, not amps, are regulated by the voltage regulator.

Now, go to page 36 of the IPB and follow the instructions.

Read this page in conjunction with page 43 of your IPB. PART IX

Modification of a message is the next step in the communicating process. After delivery, the sender should allow for feedback and then modify the message. (Feedback was defined in the first segment of this part, and we shall pursue it further later in our discussion.)

There are two reasons for modification of even well-encoded and well-delivered messages. The first is that receivers tend to evaluate, judge, and approve or disapprove of other people's statements. The following is an example of receivers doing just this.

> LTJG Meyer is from a small town in Iowa. He is teaching a class on the Uniform Code of Military Justice. A seaman from the same town tends to blindly accept everything presented by Mr. Meyer. On the other hand, another seaman in the class is from the South and suspects all Northerners; therefore, he tends to reject anything said by Mr. Meyer.

In this example, the receivers are evaluating, judging, and approving or disapproving a communication on the basis of the sender's place of origin. Other receivers might evaluate a message on a basis that is just as illogical as the one in this case. Whatever their basis for judging may be, receivers will agree or disagree with what they see, read, and hear.

Prejudging of a message by the receiver is common to all interchanges and communications. This phenomenon increases even more in situations where emotions and feelings are deeply involved. Obvious examples of such situations are those that include conditioned prejudices about race,

religion, and politics. A message that effectively communicates to one type of receiver might require extensive modification before it can communicate to another type. A message that is effective at one time could be completely ineffective at another time, and this becomes a particularly sticky problem where opposing views cause violent emotional reactions.

A second reason for modification of messages is that receivers tend to listen only to communication that is geared to their interests and needs. For instance, a message that effectively communicates to one particular interest group might bore or even alienate members of a different special interest group. In that case, the communication would be ineffective and the message would have to be modified for the second group.

Now, go to page 43 of the IPB and follow the instructions.

Read this page in conjunction with page 46 of your IPB. PART X

Now that you know the reasons for modifying a message, we shall discuss the guidelines for selecting the most appropriate modification techniques. As we said earlier, receivers evaluate, judge, and approve or disapprove whatever they see, read or hear. Our first guideline for selecting a method of modification from the many methods available--empathy--is a means of compensating for this tendency. However, since "empathy" is sometimes confused with "sympathy," we must differentiate the two.

Sympathy is an affinity, association, or relationship between persons or things such that whatever affects one similarly affects the other, especially in times of difficulty or sorrow. When this tendency to commiserate with others gets out of hand, it becomes a liability in a leader because it limits his effectiveness in controlling a situation.

Empathy, on the other hand, is the capacity for participating in another's feelings or ideas and can appreciably enhance a leader's effectiveness. This capacity for vicarious experience enables the leader to see the world as the receiver sees it and then to compensate for the receiver's evaluation and judgment of the message. In this way, empathy becomes a means of expanding a leader's effectiveness in controlling a situation.

In order to attain empathy with his receiver, the sender must perceive his receiver's frame of reference and consider

the expressed idea from the receiver's viewpoint. Since the message is perceived and interpreted by the receiver in terms of his own experiences and concepts, the sender should make every effort to empathize with them. Then by modifying his message on this basis, the sender is able to compensate for his receiver's evaluation and judgment of the message.

Now, go to page 46 of the IPB and follow the instructions.

Read this page in conjunction with page 50 of your IPB. PART XI

We know that people tend to listen only to communication that is geared to their interests and needs. Therefore, the second guideline for choosing an appropriate method of modifying a message is to determine and understand what the receiver's interests and needs are before communicating with him. The message, then, should be modified in regard to those interests and needs.

In the following example, the officer is aware of the interests and needs of his men and modifies his message on that basis:

> "Men, I know you've been severely handicapped for a couple of weeks now by a lack of supplies, so I'm glad to report that the supplies are in and are now being distributed."

Thus in this example the officer is compensating for the fact that people tend to listen only to communication that is geared to their interests and needs.

Now, go to page 50 of the IPB and follow the instructions.

PART XII Read this page in conjunction with page 53 of your IPB.

Now that we have completed our discussion of the sender's role in the communicating process--encoding, delivering, and modifying--let's examine the subject of feedback once again.

As you learned in the first segment of Part Four, feedback permits the sender to modify his message on the basis of the outcome of his original communication. Take the following example:

> A medical officer arrives at the scene where a number of seamen have assembled around an injured recruit. Under stress of the emergency the officer reacts by barking out orders using medical terminology. The first feedback he receives from the seamen is helpless blank stares. The feedback demonstrates to the officer the necessity of modifying his instructions to make them meaningful to the men.

The purpose of feedback is to ensure that the message has been understood by the receiver the way it was intended by the sender. The medical officer in the example continued using new feedback to rephrase his instructions until he was positive that the men understood each instruction from his point of view.

Now, go to page 53 of your IPB and follow the instructions.

Read this page in conjunction with page 59 of your IPB. PART XIII

Feedback has two characteristics. First, it is a behavioral response (or message) from receiver to sender. This is illustrated in the following example:

> ENS Turner is explaining the operation of a magnetic mine to a group of visitors. From the blank looks on their faces, Turner realizes that his explanation is too technical. He restates his explanation in lay terms.

The blank looks on the visitors' faces were a behavioral response (or message) from the receivers to ENS Turner, the sender.

A second characteristic of feedback is that when free, it facilitates two-way communication. Recall that in most organizations, the hierarchical structure allows for downward communication only. This is one-way communication, which sanctions only controlled feedback--that feedback which is required or specifically requested. In this type of situation, the receiver is prohibited from generating spontaneous feedback. He is not free to interact with the sender, and the sender is deprived of much valuable feedback. Free feedback is not required or specifically requested but is generated spontaneously and is possible because it is not prohibited by rules or inhibitions. Two-way communication is facilitated when the channel from receiver to sender is open and is working both up and down.

Now, go to page 59 of the IPB and follow the instructions.

PART XIV Read this page in conjunction with page 64 of your IPB.

In a free feedback situation the roles of the sender and the receiver are constantly exchanged. One of the ways a sender can further promote the interaction between himself and the receiver is by his delivery technique. The sender's voice, his tone and volume, the number of pauses, and his rate of speaking can encourage or discourage feedback from his receiver. These serve as clues that tell the receiver the relative importance of the different parts of the message and help him to understand the message.

How the receiver reacts during the delivery of the message--his facial expressions, gestures, actions, questions, and comments--are all feedback to the sender. They are clues that tell the sender to what degree his receiver is understanding the message. The sender should modify his message on the basis of these clues.

Finally, at this point of the communicating process, questions and answers are exchanged between the sender and receiver. Information is repeated and rephrased as the need becomes obvious, and the sender and receiver continually exchange roles. This successive interaction is continued until the message is clarified and sender and receiver reach a common understanding.

Now, go to page 64 of the IPB and follow the instructions.

Read this page in conjunction with page 75 of your IPB. PART XV

There can be many obstacles to feedback. A sender may be too preoccupied with sending the message to receive feedback. As an example, an ensign reading instructions to a seaman without looking up does not notice the perplexed look on the seaman's face. A message worth sending should be checked during delivery to ensure that it is being received properly. In this case, the ensign should have glanced up occasionally for visual feedback and should have asked occasional questions for verbal feedback.

Another obstacle to feedback is that the sender may wish to avoid conflict that he anticipates the feedback will generate. Not uncommon is the case of the subordinate who provides no feedback after concluding, correctly or incorrectly, that his superior is unwilling to listen to opinions, criticism, or reports of mistakes or failures. Another aspect of this type of obstacle is exemplified in the following situation:

> LTJG Young agrees wholeheartedly with the notice that he has been instructed to relay to the men. However, he knows that the men will disagree with every point which the notice makes, so he leaves the scene as soon as he makes the announcement.

One other obstacle to feedback is the sender who is insecure about his ability to perform or the sender who feels threatened by his receiver. Consider the situation wherein the senior may view feedback and free two-way communication as possibly weakening and diminishing his

strong control over the organization, with the result that he discourages feedback.

Still another obstacle is the sensitivity of the people involved. All the factors that interfere with the receiver's ability to comprehend the message also interfere with the sender's ability to perceive and comprehend feedback. Furthermore, the roles of sender and receiver are frequently exchanged in a free-feedback situation so that both their sensitivities may prove to be obstacles to feedback.

Lastly, the magnitude of the feedback signal can sometimes be an obstacle to feedback. A feedback signal can be so unobtrusive that it escapes the sender's notice. For example, a gesture used to catch the sender's eye in order to pose a question can be so slight that the sender does not recognize it as feedback.

Now, go to page 75 of the IPB and follow the instructions.

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART FOUR

ACHIEVING EFFECTIVE COMMUNICATION

Segment V

Formal Communication and Its Dimensions

Audio Script

(HHATS)

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

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FORMAL COMMUNICATION AND ITS DIMENSIONS

Read pages one and two, then follow the underlined instructions. PART I

In this segment, we shall discuss three types of formal communication--downward, upward, and lateral--and we shall point out some of the advantages and limitations of each.

Formal communication can be defined as any official communication within the chain of command of an organization, and, as we said earlier, there are three basic types of formal communication: downward, upward, and lateral.

Downward communication is used when the Executive Officer passes the word on liberty. He passes it down through the chain of command to the department heads, who then pass it on to the division officers.

Upward communication is used when a storekeeper reports to his Division Officer that his areas are secured for the day and requests additional help for a special issue the next day. The Division Officer passes the request on to the Supply Officer.

The third type of formal communication, lateral, is used between individuals at the same level within the organization or at the same level in different organizations. Communication between the Division Officers of M and E Divisions, for example, or between the department heads of the Supply and the Engineering Departments, is lateral communication.

Downward communication is the most frequently used formal communication. It is important for a number of reasons.

1) Downward communication is essential to the functioning of a military organization. It provides direction, instruction, and information throughout the chain of command.

2) It is the communication dimension most frequently used and relied on.

3) It helps each individual to know where he stands.

Now, go to page 1 of the IPB and follow the instructions.

Read this page in conjunction with page 4 of your IPB. PART II

Downward communication has two objectives. First, it is used to control information flow. For example, if the Captain tells his Executive Officer to implement certain policy changes, he will include a brief outline of how that policy change is to be communicated to all concerned. In this way, he establishes control over the downward communication process.

The second objective of downward communication is to provide communication channels for the flow of information from senior to subordinate levels. These channels are used to convey policies, procedures, and objectives from the planners to those who will execute them. Information about future tasks, promotions, and so on is also passed down through these channels.

Now, go to page 4 of your IPB and follow the instructions.

PART III Read this page in conjunction with page 10 of your IPB.

Upward communication is the sending of messages from lower to higher levels through the chain of command and/or the grapevine. For example, a radioman reports to the Communications Officer that he has received a confidential message from the Commander of Task Force 41. The Communications Officer relays the message to the Executive Officer, who relays it to the Captain.

Upward communication is important because it allows a senior to determine if messages have been received, understood, accepted, and acted upon. If the Supply Officer instructs the chief commissary man to reduce the size of the meat serving, he must know if those instructions have been carried out. The Supply Officer must therefore have feedback to determine that the size of the meat serving has indeed been reduced. Without this feedback, the first indication he will have that his order was not carried out will be when the meat runs out before the end of the cruise.

Upward communication is also important because it enables the leader to discover if the needs of his subordinates are being satisfied. For example, if a division officer consistently fails to listen to the professional and personal problems of his men, it is quite likely that a seaman may prefer to go "over-the-hill" rather than ask for emergency leave.

Now, go to page 10 in the IPB and follow the instructions.

Read this page in conjunction with page 14 of your IPB. PART IV

Upward communication has a number of objectives. For one, it encourages subordinates to contribute ideas and/or constructive criticism. An example of this would be the ship's doctor who discusses with his corpsmen the flow of men through the department for a medical examination. A discussion of this type enables the petty officers to make suggestions. Furthermore, it achieves two other objectives of upward communication: incorporating the petty officers' ideas into the work plan will demonstrate to them that they are valuable sources of information and will develop in them a sense of participation in the operation of the department.

The last objective of upward communication, but not the least important one, is to allow feedback to reach higher levels of the organization. For instance, after hearing complaints about the hours of operation of the Midshipmen's Store from the midshipmen in the company, the Midshipman Company Commander reported to his Company Officer. Soon a conference was planned with representative groups of midshipmen in the battalion. The substantiated complaints were then forwarded via the chain of command to the Commandant of Midshipmen. In this way, the midshipmen's complaints reached the person in authority, who then was able to act on them.

Once again, the four objectives of upward communication can be summarized as follows: it encourages subordinates to contribute ideas; it enables the leader to impress upon his men that they are valuable sources of information; it develops greater participation by the men in the operation of the department; lastly, it allows feedback to reach higher levels of the organization.

Now, go to page 14 of the IPB and follow the instructions.

Read this page in conjunction with page 20 of your IPB. PART V

Now that you know the importance and objectives of upward communication, what is the leader's role in achieving these objectives? Even though in upward communication the subordinate is the sender while the leader is the receiver, it is still the leader's job to create an atmosphere that facilitates the practical use of feedback.

The leader can emphasize the open-door policy. He can provide public acknowledgement for constructive criticisms. The leader, by providing feedback to his subordinates, can further enhance the "feedback atmosphere." The incentive rewards programs for labor and money saving ideas is a good example of an attempt to create that atmosphere which will facilitate the practical use of feedback.

Now, go to page 20 in the IPB and follow the instructions.

PART VI Read this page in conjunction with page 32 of your IPB.

Lateral communication is defined as the transmission of messages to persons at the same level within an organization or at the same level in different organizations. For instance, lateral communication takes place between division officers on the same ship or between the captains of two aircraft carriers.

Lateral communication is important because it is necessary for the efficient operation of the organization. As an example, let's take the case where a radio fails because the Communications Officer did not advise the Supply Officer of a potential high usage of a specific component. This failure of an important piece of equipment could have been prevented by lateral communication between the two officers.

Lateral communication has two objectives. In the first place, it facilitates the coordination of efforts between peers within an organization or in different organizations. Here are two fairly common situations which illustrate the need for lateral communication.

A dental officer of a carrier wants to schedule a semiannual checkup of all personnel. Before proceeding, he consults the Operations Officer to determine the operations, plans, and training schedules for the men in order to avoid creating conflicts.

Next let's take the case of a Supply Officer of a cruiser who has to plan the loading of supplies in port. He needs to contact the issue control officer of a supply depot before going ahead with his planning. In both of these cases, lateral communication facilitates the coordination of efforts.

The second objective of lateral communication is to expedite communication. Oftentimes routine problems can be solved quickly by means of lateral communication, as in the following example.

> MIDN 4/c Rhett has been selected as one of the winners in the Freedom Foundation Awards essay contest. The Academy is proud to have one of its midshipmen receive such an honor and expects him to attend the awards banquet in Valley Forge, Pennsylvania, wearing full-dress uniform. Although the midshipmen have been measured for their full-dress uniforms, they have not received them. MIDN Rhett needs his in one week, so his Company Officer telephones the OIC of the tailor shop and explains the problem.

In this case, the lateral communication between the Company Officer and the OIC of the tailor shop will speed up the routine request for delivery of a full-dress uniform.

Now, go to page 32 in the IPB and follow the instructions.

PART VII Read this page in conjunction with page 33 in your IPB.

In a lateral communication situation, each party has responsibilities to fulfill. It is the responsibility of each person to listen to what is said in order to provide mutual support and ensure coordination of efforts. Take this example:

> The Medical Officer has scheduled shots for the disbursing clerks on Thursday at 0900. When the Medical Officer informs the Disbursing Officer of this, the latter explains that Friday is payday and the men will be working on the payroll all day Wednesday and Thursday. He asks if his men could be rescheduled for the following week. The chief medical corpsman replies that the clerks can probably switch with Chief Todd's men in CIC who are scheduled for next week; he promises to check on it with Chief Todd and to clear the change with the Medical Officer.
>
> As a result of this lateral communication, the disbursing clerks received their shots a week later, and the payroll was figured on schedule.

Now, go to page 33 in the IPB and follow the instructions.

Read this page in conjunction with page 45 in your IPB. PART VIII

Before leaving the topic of formal communication, let's briefly discuss its advantages and disadvantages.

As you already know, it is the concerted effort of each individual in a group that results in goal accomplishment, and it is only through communication that the group's members are able to coordinate their efforts. Thus, one advantage of formal communication is that it provides a channel through which a leader--communicating downward--can send to his subordinates information required for operation of the organization.

Another advantage of formal communication is that it provides a channel through which subordinates--communicating upward--can convey suggestions and grievances to superiors who have the authority to act upon them. Communication from subordinates is the leader's means of keeping his finger on the pulse of the organization. It improves the military leader's overall picture of the actual tasks that are being performed and serves as an early warning of problems that may occur. Thus the military leader can use communication from subordinates as a means of maintaining effective control of the organization.

The last advantage of formal communication is that it establishes responsibility for all actions taken, and is therefore necessary to the functioning of a military organization.

Now, go to page 45 in the IPB and follow the instructions.

PART IX Read this page in conjunction with page 48 in your IPB.

The leader should be aware that formal communication has certain disadvantages. In practice, a formal communication network is used primarily to transmit orders downward and reports upward at the expense of other types of communication. If the leader is to keep his finger on the pulse of the organization and get an overall picture of the tasks being performed, then he has to encourage the subordinates to use the formal communication network for all types of communication--not just reports. In turn, he should use it for purposes other than just issuing orders.

A word of warning about using the formal communication network is appropriate here. There is the danger of overloading it, and the leader should try to reach a happy medium between the two extremes--using it to advantage without overworking it.

The second disadvantage of using formal communication is that personnel tend to pay much more attention to upward and downward communication and virtually neglect lateral communication. As we said earlier, lateral communication is necessary to the efficient operation of the organization, so by neglecting it, the personnel may be impairing their own efficiency.

Now, go to page 48 in the IPB and follow the instructions.

Read this page in conjunction with page 55 of your IPB. PART X

The leader can compensate for the limitations of formal communication by what is called the "open-door" policy. This policy may be defined as a leader's invitation to his subordinates to talk things over at any time. The open-door policy is important because it helps maintain good relations between the leader and his subordinates. One of the quickest ways a leader can stifle such relations is not acting, in some way, on a request, a complaint, or a suggestion. It is imperative that the subordinate be given an answer.

Here is an example of how easy it is to implement an open-door policy.

> Upon assuming duties as the Radio Officer, LT Simons, addresses the operators, telling them how important they are in carrying out the mission of the ship. He asks for their ideas and suggestions, reminding them that he is always available to discuss anything they wish.

There are three objectives in using the open-door policy. First, it stimulates upward communication. Because LT Simons tells his men that he is always available to talk with them, his men will be more likely to supply him with useful feedback.

The second objective of the open-door policy is to overcome the reluctance of subordinates to communicate with seniors about personal matters. For instance, if SN Riley is depressed and unable to concentrate on his work because of a sickness in his family, it is desirable that he report this to his chief. Besides giving some consolation, the chief may arrange for an emergency leave for Riley. Many men have financial

problems that easily can be solved by the leader; the more complicated problems may require more expert counseling and guidance. Often a hardship (compassionate) reassignment or transfer can save a family as well as a career Navy man.

A third objective and an integral part of the leader's job is to know the morale of the men serving under him. The third objective of the open-door policy is to provide the leader with information about the morale and esprit of the group.

> For example, CAPT James, the CO of a heavy cruiser, held nightly informal question-and-answer sessions on a closed circuit TV system. Anyone could phone questions to the studio, and the Captain would answer them on the program. This procedure enabled the Captain to obtain first-hand information about the men's morale, and it demonstrated to them that he cared about their problems.

Now, go to page 55 of the IPB and follow the instructions.

Read this in conjunction with page 63 of your IPB. PART XI

Merely announcing an open-door policy in order to stimulate upward communication is not enough, because there is great reluctance on the subordinate's part to approach a leader. As a matter of fact, the success of an open-door policy is indicated not by the frequency with which subordinates "come through the open door," but rather, by the frequency with which the subordinates return with ideas, suggestions and recommendations as well as new problems. This is a truer measure of its success.

There are several ways a leader can supplement the open-door policy in an effort to stimulate upward communication. For one, he should make frequent informal visits around the work area. Furthermore, during these visits he should initiate conversations with his subordinates. Let's say that a commander in the Civil Engineer Corps is the Commander of a Seabee Battalion which is constructing a warehouse. If the Commander walks through the work area several times a week and talks to some of the workers, he makes it more convenient for his men to talk to him.

Now, go to page 63 in the IPB and follow the instructions.

PART XII Read this in conjunction with page 65 of your IPB.

Once a subordinate has overcome his reluctance to approach a superior and addresses him, nothing will discourage him more than a superior who does not listen. Therefore, it is necessary to avoid bad listening habits when implementing the open-door policy.

In our discussion of undesirable listening habits, we shall draw on research conducted by Dr. Ralph G. Nichols, a University of Minnesota professor, who has discovered what he believes are the worst listening habits of the American people. We shall look at five of these and their relation to the implementation of the open-door policy.

The first bad listening habit we shall discuss is faking attention. For example, SN Andrews is talking to ENS Walters about Christmas leave, and the latter repeatedly nods his head and says absentmindedly, "Yes, yes." SN Andrews realizes that the ensign is not listening to him and resents this.

The next bad listening habit is listening for facts only. By listening for facts only, the leader misses some important information which can be gleaned from the disposition of the speaker and his manner of delivery. The listener should consider whether the speaker is calm, happy, frightened, or angry as he speaks, for such information is valuable in assessing and supplementing the bare facts.

Occasionally, a successfully implemented open-door policy involves the leader in listening to comments from subordinates that imply some criticism of himself. In such cases, the leader must avoid getting emotionally overstimulated and threatening the subordinate with punishment for insubordination. Furthermore, he must not "switch-off" and stop listening just because someone is saying unflattering things about him. There may be an important message for him in what the subordinate is saying, and he should listen to it objectively.

Finally, the leader should not indulge in "hop-skip-and-jump" listening. People can listen faster than a speaker speaks; that is, they can anticipate how the sentence will end before it has been finished. The leader should remember that many of his subordinates may not be very fluent when talking to him, and he should avoid interrupting sentences with, "Oh, I see..." or "Oh, you mean..." Doing this will have a bad effect on the subordinate and make him feel that the leader thinks he is rather unintelligent or incapable of communicating.

Now, go to page 65 in the IPB and follow the instructions.

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART FOUR

ACHIEVING EFFECTIVE COMMUNICATION

Segment VI

Informal Communication

Audio Script

(HHATS)

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

NOTE TO THE STUDENT

This script is designed for use instead of an audiotape with the Intrinsically Programed Booklet (IPB). Begin the segment by reading page 1 of this script, not of the IPB. The script will then direct you where to begin reading the IPB. Thereafter, instructions for progressing through the IPB will be contained on each page of the IPB.

Whenever the IPB directs you to a certain page, with the instruction to listen to another part of the tape, you will simply read the corresponding part (e.g., I, II, etc.) in this script.

INFORMAL COMMUNICATION

Read this and the next page, then follow the underlined instructions. PART I

In this segment, we shall discuss the advantages and disadvantages of the grapevine and point out how it can be used effectively by a leader. Further, we shall discuss the causes of rumors and ways to prevent as well as to combat them.

The grapevine can be defined as a fairly stable informal channel of communication over which rumors or other informal and unofficial communications of high interest to both sender and receiver are transmitted within an organization. It exists within the formal communication structure (such as two seamen discussing scuttlebutt while on duty) and is concerned with communications not restricted to the chain of command. The grapevine is utilized in an upward, downward, or lateral manner, as is formal communication.

The term "grapevine" arose during the American Civil War, when the only swift means of communications were telegraph lines hastily strung in trees as the troops moved back and forth along the lines of battle. At times there were so many wires in the trees in some areas that the men were reminded of actual grapevines. It wasn't long before the men discovered that tapping the "grapevines" was an excellent source of unofficial information which was quickly spread by word of

mouth. The term has carried over to the present day to represent informal and unofficial information of general interest.

The informal communication system arises from the social interactions of people within the organization; for example, the Misery Hall corpsman in the fieldhouse tells a midshipman who is getting a whirlpool treatment that Navy is going to have a new football coach next year.

Informal communication also arises from the fact that there are informal leaders within a group who listen to and relay requests of the group members to formal leaders. For example, Chief Harris gets along well with his men and listens to their gripes and requests. He does this informally and is able to decide which are worth passing on to his division officer.

Now, go to page 1 of the IPB and follow the instructions.

Read this page in conjunction with page 3 of your IPB. PART II

Many leaders consider the grapevine a necessary evil. Actually, the grapevine has many advantages. For one, it can help develop group identification and interest in work. Let's take the case of SN Bryne who spends most of his days chipping paint, painting, and swabbing decks; as a result, he considers his job inconsequential. However, when he expresses his opinions on the way the ship is being run to his fellow deckhands, he feels that he is making a contribution to his "grapevine" group, and this helps him identify with that group.

Further, the grapevine can supplement downward communication throughout the formal organization, as in the case of LCDR Sanders, who publishes the necessary announcements in the plan of the day, but because of space limitations, must be brief. Hence, he discusses the reasons for each item with his yeoman, knowing this information will get to others through the grapevine.

Another advantage of the grapevine is that it can provide an indirect means of implementing actions. For example, a company officer notices that the upper class midshipmen are slow to stencil their names on new clothing. He spreads the word through the grapevine that at the next inspection, the main item to be checked will be the correct stenciling of clothing. As a result, the clothes are stenciled very quickly.

Now, go to page 3 of the IPB and follow the instructions.

PART III Read this page in conjunction with page 14 of your IPB.

Two further advantages of the grapevine are: (1) it supplements upward communication, and (2) it provides an emotional safety valve.

When information is delivered upward, the leader can sort out and interpret what is fact or feeling, what is truth or rumor. Thus he gets clues to the climate in which he is operating. LT Cabot, for example, has gained the confidence of his chief engineman, who discusses the scuttlebutt with him. As Chief Engineer, LT Cabot decides what is important and relays it to the Executive Officer.

As an emotional safety valve, the grapevine enables the men to express their feelings orally without fear of repercussion. Let's say the aviation fuel handlers on a CVA have a chief who is quite vindictive and believes that there is only one way to do a job--his way. Each evening the fuel handlers get together to play cards. As they play, they cuss and discuss the chief, and in the process are able to get rid of some of their hostility and relieve their tensions.

Now, go to page 14 of the IPB and follow the instructions.

Read this page in conjunction with page 17 of your IPB. PART IV

Another advantage of the grapevine is the speed with which information is transmitted. A popular chief in the operations department, for example, has an automobile accident while on leave and needs $500 in a hurry. Word of this is spread through the grapevine, and the money is collected within a few hours.

However, the speed with which information is transmitted may have negative consequences as well. The following example, though it is poor leadership to begin with, clearly makes the points of speed and negative consequences: Captain Burns tells his Executive Officer that he will be canceling the inspection scheduled for 1000 but that he does not want the men to know about it until 0930. SN Sands overhears the conversation, and soon the information is known by everyone on board.

The final advantage of the grapevine is that the group accepts the information readily. Even though the receivers know that not all information on the grapevine is accurate, they are willing to believe because often it is of immediate interest to them. Here is an example of how this tendency can be used advantageously.

> The men on board a ship off the Vietnamese coast are only two days away from completing their tour-on-the-line. Nevertheless, their morale is low, for they know they will be heading for Subic Bay in the Philippines next. Then the senior radioman passes the word that a message has been received authorizing the ship to go to Hong Kong for four days, and just the possibility of their going there noticeably improves the crew's morale. The men realize that the information is informal, but they still believe it because it is of immediate interest to them.

This tendency to readily accept information that is of immediate interest can have negative consequences as well.

> On a cruiser operating in the Mediterranean, the topic of conversation in the first class petty officers' mess is when the ship will be heading back to the States. When RM Nickles claims that he saw a message stating that they would start back in 15 days, many accept it as fact. Even though Nickles has no real knowledge of the actual date for the ship to head back home and makes the statement just to impress the other men, some of them notify their families. Some families, in turn, make plans to meet the ship on the day Nickles specified, only to discover that it is the incorrect date.

The unnecessary bother and expense the families go through resulted from the men's willingness to readily accept information on the grapevine.

> Another instance in which information of immediate interest was readily accepted with negative consequences concerns rumors at the Academy about Christmas leave. As it happened, Christmas leave was scheduled to start on Saturday morning, but according to the rumors that were circulating, the midshipmen could leave on Friday. Many believed this rumor and made their travel arrangements accordingly.

Now, go to page 17 of the IPB and follow the instructions.

Read this page in conjunction with page 20 of your IPB. PART V

As you may have guessed, there are also many disadvantages to the grapevine. One is that it is used to spread rumors, untruths, and distorted information. An example of this occurred when a medical officer alerted the medical department to the importance of periodic checks for venereal disease. Four departments later, the message had been changed to mean that there was a high incidence of VD aboard ship.

The second disadvantage of the grapevine is that it decreases the leader's control over the accuracy of the information, the direction in which it flows, and its impact.

> As a destroyer approaches the war zone, the Weapons Officer calls a meeting of the members of the Weapons Department and impresses upon them the importance of conducting the daily tests fully and accurately to ensure that the equipment is in the highest state of readiness. GM2 Baxter misinterprets this to mean that they are going into combat shortly and circulates his opinion as fact.

In this case, the Weapons Officer has no control over the accuracy of the information, the direction in which it flows, or its impact on the crew.

A third disadvantage of the grapevine is that it may be used irresponsibly. For instance, SN Grant, a high school dropout, joined the Navy to keep from being drafted. He hates authority and feels he is being picked on, so he spreads lies about the officers on the ship in an attempt to discredit them.

Now, go to page 20 of the IPB and follow the instructions.

PART VI Read this page in conjunction with page 32 of your IPB.

Even though the grapevine is uncontrollable and totally unpredictable at times, it still can be effectively used by a leader to his benefit. First, he must "listen in" on its content. Then on the basis of what he learns from it, he can, for one thing, determine potential leaders within the organization. These informal leaders can then be used to influence the group's opinions and attitudes and to supplement downward communication. In one instance, the Supply Officer notices a lack of complaints on the grapevine about the way pay is distributed; from this he deduces that his disbursing chief is respected by the men and gives the chief additional facts to supplement his directives.

Further, a leader can utilize the grapevine to keep the men informed. It is important that he do this, because the grapevine is likely to manufacture its own facts when the true ones are missing.

> Just prior to the time when the midshipmen will be making a selection of service, a company officer hears a rumor floating around Bancroft Hall that all graduates will have to go to sea for at least two years before pursuing postgraduate aviation assignments. The true facts are that no changes have been made and that those who will be selected for postgraduate aviation assignments will be able to pursue them without serving at sea for two years. He immediately relates the true facts to his MIDN Company Commander, who in turn relays the information to his men.

Now, go to page 32 of the IPB and follow the instructions.

Read this page in conjunction with page 38 of your IPB. PART VII

Another way in which a leader can use the grapevine to his advantage is to ascertain, unofficially, actions taken on the formally transmitted messages. LCDR Howe was verifying his instruction on conservation of fresh water when he found that some divisions were not following the instruction carefully.

A leader can also use the grapevine to test with those under his command his own credibility or the credibility of the formal system. This should help him determine how much confidence the men have in his leadership; in addition, it should provide clues to their attitudes toward the formal organization.

> The M Division Officer aboard an old WWII-vintage ship notices an offensive odor in the living compartment. He promptly requests and receives permission to air the kapok mattresses at periodic intervals. Of course, this action causes grumbling among the men, but the grumbling stops when the odor in the living quarters improves noticeably. The fact that the grumbling subsides indicates to the officer that the men approve of his action.

The last way in which the grapevine can be used to advantage by a leader is to test ideas or lay the groundwork for future programs. For example, LTJG Fulton, the Supply Officer on a DD, wants to implement a new idea in his department, but before issuing the appropriate instruction, he first mentions the idea to a few of his petty officers. He then is able to modify it on the basis of the comment along the grapevine before ever giving out the instruction.

Now, go to page 38 of the IPB and follow the instructions.

PART VIII Read this page in conjunction with page 44 of your IPB.

Up to this point we have discussed the grapevine merely in terms of the system itself and how it can be utilized by a leader. Now we are going to examine in detail one type of communication that is frequently passed through the grapevine--rumors. We shall discuss the causes of rumors and what the leader can do to prevent and combat them.

A rumor is an unverified communication from an unknown source. The information it contains may be completely true, partly true, or totally false. Usually rumors are widely circulated and contain information that the listener believes because he wishes it were true. Handling rumors becomes a particularly difficult problem to a leader when people base their actions on them.

Now, go to page 44 of the IPB and follow the instructions.

Read this page in conjunction with page 47 of your IPB. PART IX

There are many reasons why people start rumors. Malice is one of them. For example, ET2 Martin was unhappy because ET2 Tanner was picked to go to electronic countermeasures school instead of him. In order to spite him, Martin began spreading a rumor that Tanner had been in jail.

Another reason is anxiety. Let's take the case of YN Midway, whose father was killed in World War II and who lost a brother in Korea. He has just received orders transferring him to a ship already scheduled to go to Vietnam, and he feels this means certain death. Seeking to comfort himself, he spreads the word that a chief has told him that his present ship is also to be deployed there. Examination time at the Academy--an anxious period in the lives of many midshipmen--illustrates this point further. Periodically, the story that anyone failing more than one course will be "bilged out" makes the rounds after the results of the examinations are posted.

A third reason is insecurity. ENS Hancock realizes that his chief boatswain's mate knows more about running the Deck Division than he does and feels that the men respect the chief more than they do him. In the wardroom, ENS Hancock complains that the chief is always trying to undermine his authority.

Still another reason for starting rumors is a desire for wish fulfillment. MM3 Essex has always wanted to visit Naples. Whenever he has the chance, he says, "I hear that the Captain wants to stop in Naples, but the Navy won't let him."

Now, go to page 47 of the IPB and follow the instructions.

Read this page in conjunction with page 53 of your IPB. PART X

Some reasons for starting rumors are less personal. Sometimes rumors are used to apply pressure on a leader, as in the case of LTJG Long, the Supply Officer, who in three weeks has done nothing about the yeomen's request for a coffee pot in the ship's office. Hoping to prompt him into action, they spread the word that Long wants the coffee pot for his own office.

Another reason for starting rumors is to try to smoke out the truth.

> The crew of an AO has been unable to find out when the ship will be heading back to the States, so in an attempt to discover this information, they hit on the following scheme. Knowing that this will upset most of the crew, they spread the word that the ship won't head back for two months. They hope the Captain will thus be forced to reveal the correct date of the return in order to restore the crew's morale.

Lack of credibility in superiors can also be a reason for starting rumors.

> The officers of an LKA often give out a schedule before they are sure of it. As a result, they find themselves on the defensive when they finally produce the correct information. Inevitably, the crew doubts most of the notices issued, and this in turn causes widespread speculation as to what the correct information is.

The final reason for starting rumors is weakness of the formal system. In a weak formal system subordinates cannot get the answers they need, so rumors start flying. For example, LCDR Beach makes it difficult for the officers and men under him to approach him with questions. They go to other officers or to the grapevine for answers.

Now, go to page 53 of the IPB and follow the instructions.

Read this page in conjunction with page 55 of your IPB. PART XI

Rumors generally begin as a result of lack of information; i.e., nothing may be known of the future, giving rise to wild guesses, or fragments may be known, giving rise to uncertainty regarding who, when, where, how or why. The principle underlying the spread of rumors is that rumors flourish in proportion to the uncertainty or ambiguity of the situation and to the importance of the information carried on the grapevine. In other words, the more uncertain, complicated and ambiguous the situation, the more likely it is that rumors will start. Here is an example.

> Twelve hours after mooring at an R&R area in Japan, the crew of a CGN is recalled from leave and liberty, and the ship sails as soon as the last man comes aboard. Using the PA system, the Captain expresses regret for having to call the men back and promises to explain the situation in a few hours, when he will receive final orders. Rumors immediately begin flying around the ship--there are serious riots in Los Angeles and the Navy has to stop them; the Russians have invaded Israel; South Korea has been invaded; Hong Kong has been attacked by Red China and needs help; the Captain wants to get home for his wedding anniversary, and so on.

Since we know that uncertainty and importance are the two ingredients required for the spread of rumors, it is the leader's responsibility to keep the members of the group informed of all vital facts.

Now, go to page 55 of the IPB and follow the instructions.

PART XII Read this page in conjunction with page 63 of your IPB.

Many techniques have been found effective in combating rumors. The first one is to determine the cause of a rumor.

> LT Jones, the Medical Officer on an LPD, heard through the grapevine that the men think flu shots are dangerous. He immediately launches an investigation to uncover how this fallacious rumor started and soon uncovers the cause. It seems that two sailors disregarded the warning against getting the shots in cases of sensitivity to eggs; consequently, they developed adverse reactions after the injection, and soon the word was out that flu shots were unsafe. Having once determined the cause of the rumor, LT Jones immediately has the warning against getting the flu shot in case of allergy to eggs printed in the POD; at the same time he reassures the crew about the safety of the shot for those without allergic complications.

The second technique for combating rumors is to keep subordinates informed to increase feelings of security and self-confidence.

Transmitting factual information formally and informally is another way to combat rumors. For a minute let's look at an example in which the crew of a ship going out of commission was wondering about who would be selected by the Captain as key members of the precommissioning detail for his new ship. Rumors as to who would get to go were widely circulated because of the uncertainty and ambiguity of the situation and the lack of important information.

In order to squelch these rumors, the Captain must formally announce the list of names of those who are going and when. Further, he should utilize the grapevine to spread the word as to why men with those particular skills were selected to go.

Now, go to page 63 of the IPB and follow instructions.

PART XIII Read this page in conjunction with page 67 of your IPB.

Another effective technique for combating rumors is to acknowledge and bring them out into the open. This can be done by means of the public address system, newspapers, bulletins, or face-to-face interaction.

> LTJG Newport has the assigned task of publishing the ship's newsletter. He makes a practice of listening to the scuttlebutt in the wardroom and publishing anything he deems relevant. Also his yeoman keeps in contact with men in other departments, and when a rumor that appears to be more than just idle gossip is heard, it is brought out in the open and is dealt with appropriately. Further, whenever the source of the rumor can be determined, the cognizant authority delivers an answer directly.

Still another technique for combating rumors is for the leader to circulate informally and discuss what is going on within the organization. This helps to eliminate unanswered questions that the men have and consequently reduces ambiguity.

> On an LPH a rumor starts spreading that the Captain does not trust his crew, and for that reason their ship has not been going to good liberty ports as others have. While circulating among the men, the Captain explains the true reason for their not going: the ship is the only one of its kind in the area and their services are indispensable. Therefore, their R&R will continue to be limited until they are relieved on station.

Now, go to page 67 of the IPB and follow the instructions.

Read this page in conjunction with page 70 of your IPB. PART XIV

There are two more techniques considered effective in combating rumors. First is the use of the grapevine as a feedback mechanism for the close monitoring of group attitudes. Rumors carry a message for the leader from which he can learn many implications about the organization. For example, CDR Brooks, the XO, devotes part of the all officers' weekly meeting to discussing and analyzing rumors. However, he makes it a point not to discuss the sources of the rumors because that might cut off the flow of information in the future.

The final technique for combating rumors is to develop and maintain high credibility as a leader, for this will minimize formulation and bad effects of rumors. CDR Brooks makes sure that only in rare cases the instructions and orders he issues are changed. In this way he ensures that everyone on the ship knows he means what he says--if he says something is to be done, it's to be done.

Now, go to page 70 of the IPB and follow the instructions.

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART FOUR

ACHIEVING EFFECTIVE COMMUNICATION

Segment VII

Communication Under Battle Situations

Audio Script

(HMATS)

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

NOTE TO THE STUDENT

This script is designed for use instead of an audiotape with the Intrinsically Programed Booklet (IPB). Begin the segment by reading page 1 of this script, not of the IPB. The script will then direct you where to begin reading the IPB. Thereafter, instructions for progressing through the IPB will be contained on each page of the IPB.

Whenever the IPB directs you to a certain page, with the instruction to listen to another part of the tape, you will simply read the corresponding part (e.g., I, II, etc.) in this script.

INTRODUCTION TO PSYCHOLOGY
AND LEADERSHIP

PART FOUR
SEGMENT VII

COMMUNICATION UNDER BATTLE SITUATIONS

Read pages 1 and 2, then follow the underlined instructions. PART I

Combat, the ultimate test of military leadership, always poses serious problems because of the accompanying anxiety and stress. As you know, obstacles to communication under ordinary circumstances are formidable; you can imagine how they become aggravated under battle conditions. In our discussion of communication during battle, we will include the manifestations of stress--namely, fear and panic--and the distinction between them; we will conclude our discussion with instructions on how to give orders in combat.

Stress, which changes our evaluation of others and their messages, is defined as the state of a person in any threatening situation where a readily available means of reducing the threat does not exist. For that matter, stress is by no means limited to battle conditions or to military life. Driving home in heavy, rush-hour traffic is a commonplace example of a stress situation. Some instances of stress that you may have experienced as a midshipman include financial worries, failing a course, receiving a "Dear John" letter,

and so on. A small landing ship at sea being endangered during a violent storm is an example of a noncombat stressful situation that many sailors experience.

Now, go to page 1 of the IPB and follow the instructions.

Read this page in conjunction with page 8 of your IPB. PART II

One manifestation of stress is fear, an emotion induced by the sympathetic nervous system and involving the whole physiological pattern. Fear is nature's way of preparing the body for an emergency and is exhibited in different ways. Any man who is entering into combat will notice that his heart pounds faster--his throat feels dry--he has difficulty swallowing--his arms and legs are tense. He is also more alert--his senses are sharper. Other symptoms of fear are excessive perspiration, nausea, and an intense desire to urinate.

Fear has negative as well as positive characteristics. Among the negative characteristics of fear are a generalized anger and irascibility, chronic fatigue, and avoidance behavior. Again, let's consider the small landing ship at sea during a violent storm. At the beginning of the storm, the crew carry out their orders remarkably well. There is no lack of cooperation--no outbursts of anger. The only one showing some effects of the stress is the Officer-of-the-Deck who frowns and acts irritable as he barks out orders. As the storm intensifies, so does the stress. As a result, the crew become less alert and their efficiency decreases;

eventually, chronic fatigue will set in. There is also a noticeable increase in those reporting to sick call with miscellaneous minor complaints--an indication of avoidance behavior.

Now, go to page 8 of the IPB and follow the instructions.

Read this page in conjunction with page 4 of your IPB. PART III

One other negative characteristic of fear is that frustration causes it to increase. Another is that fear may lead to exhaustion, so that the person is incapable of doing anything rational and goal-directed. In the case of the small landing ship at sea, the crew members fear that the storm will swamp the ship and this fear will increase as the storm intensifies. The Officer-of-the-Deck may become so exhausted that he may order the crew members to use their remaining energy on random, purposeless activities.

Now, go to page 4 of the IPB and follow the instructions.

PART IV Read this page in conjunction with page 14 of your IPB.

As we said before, fear has positive as well as negative characteristics. One positive characteristic of fear is that it makes people seek the company of others. People who are under stress find comfort in being with others, preferably with those who are in a similar predicament. Thus, fear builds group spirit and camaraderie.

Another positive characteristic of fear is that it tends to increase the cohesiveness of a group. When the well-being of a group is threatened by an outside force, its members tend to forget personal differences and concentrate on maintaining and improving positive relations with each other.

A third positive characteristic of fear is that it stimulates communication. People undergoing stress relieve tension through social interaction with others. The effective leader utilizes this to his advantage.

For an illustration of the positive characteristics of fear, let's return once more to the situation of the small landing craft in a violent storm. The enlisted bridge watch get together when they are relieved and discuss the situation instead of their normal activity of lying in bunks and reading. As the bull session continues, the tension dissipates, minor rivalries disappear, and the conversation runs to sea stories and "pleasurable experiences" ashore. In this case, fear has stimulated the enlisted

members of the bridge watch to seek each other's company, thereby increasing the cohesiveness of the group. In addition, it has stimulated communication.

Now, go to page 14 of the IPB and follow the instructions.

PART V Read this page in conjunction with page 19 of your IPB.

Fear itself is no enemy. Rather, it is a psychological phenomenon common to all men in stress conditions. The courageous man controls his fear and performs his duties in spite of it. Panic, on the other hand, is a state of uncontrollable fear and definitely is an enemy. It renders people temporarily unreasoning and makes communicating with them almost impossible. Therefore, one of the functions of a leader in a stress situation is to prevent panic. We shall say more about the prevention of panic in a later part of the course.

Now, go to page 19 of the IPB and follow instructions.

Read this page in conjunction with page 28 of your IPB. PART VI

Communication under stress conditions is difficult. Its importance cannot be overstated. Stress affects meaning and changes our evaluation of others and of their messages. When we feel threatened, we have a tendency to misinterpret everything we hear in our favor. The only recourse the leader has for minimizing these effects of stress is to train himself to communicate effectively. Thus, one of the most important leadership functions in battle is effective communication.

The first step for achieving effective communication under battle conditions is to give short, clear orders. The Marine Corps Five-Paragraph Order is one guide which is used in preparing precise orders. Each of the five paragraphs describes a specific part of the order, and they are arranged in a prescribed sequence. The arrangement and content of the paragraphs are designed to ensure that all necessary information for mission accomplishment is relayed to all persons in an orderly and complete manner--even under stressful conditions.

Now, go to page 28 of the IPB and follow the instructions.

PART VII Read this page in conjunction with page 38 of your IPB.

The second step a leader can take to ensure effective communication of orders during battle is to issue them in a measured, crisp, authoritative manner. Also, be positive and optimistic. Let's take a fire on board ship as an example. The word has been passed and several men are fighting the fire. The Damage Control Officer comes on the scene and notes that water pressure is low. He says, "Seaman Brown, tell the engine room damage control wants full pressure--all fire mains." The officer's manner is authoritative; the order is positive.

However, a short, clear order delivered in an authoritative manner is no guarantee that the order will be properly executed. It is essential that the receiver know what the order is directing him to do. Also, the leader must know that his order is understood. This leads us to the next step in effective communication: the need for feedback from individuals. In the example of the fire scene, Seaman Brown responds promptly to the order. If the delivery of the order is effective, Seaman Brown's response should be, "Aye, aye, Sir--tell the engine room that damage control wants full pressure--all fire mains." In this case, the order is short as well as clear, and the feedback indicates the seaman understands the action he is to take.

Now, go to page 38 of the IPB and follow the instructions.

Read this page in conjunction with page 41 of your IPB. PART VIII

An unexpected shift of personnel or a radical departure from established procedures during combat may cause confusion. Subordinates are likely to assume that conditions are desperate in another area and panic may result. Thus, the fourth step which the leader must take to communicate effectively during combat is to ensure that each person who is under stress understands the "big picture."

Here is an example in which failure to keep everyone informed of the overall plan resulted in confusion and near panic:

> A destroyer sustained a shell hit in the after engine room. The Chief Engineer decided to immobilize the engine until flooding could be controlled and temporary repairs completed. He informed the after engine room of this but failed to notify the after fire room, which was responsible for providing steam to the engine. As a result, the fire room crew was unable to control the boilers and became even further confused when they were unable to contact the engine room. They thought that maybe the order "Abandon ship!" had been given but hadn't reached them. Had the after fire room been notified of the plan, its crew could have rerouted the steam to the other engine, could have maintained control of the boilers, and would have known why there was no one in the engine room.

In this case, the Chief Engineer almost caused panic because he failed to make sure that each person under stress conditions understood the projected damage control measures. In short, he failed to keep all of his men informed.

Now, go to page 41 of the IPB and follow the instructions.